

SE27013

PATENT  
Docket No. 325772022100

#13

CERTIFICATE OF HAND DELIVERY

I hereby certify that this correspondence is being hand filed with the United States Patent and Trademark Office in Washington, D.C. on July 19, 2001.

*Marieta Luke*  
Marieta Luke

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Manami KUISEKO et al.

Serial No.: 09/855,844

Filing Date: May 16, 2001

For: METHOD OF MANUFACTURING AN  
OPTICAL HEAD

Examiner: to be assigned

Group Art Unit: 1731

**TRANSMITTAL LETTER FOR MISSING PARTS OF APPLICATION**

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

Sir:

In complete response to the Notice to File Missing Parts of Application Under 37 CFR 1.53(d) dated July 16, 2001, Applicants as a large entity submit herewith the following:

- ☒ Payment of the basic filing fee of \$710.00.
- ☒ A combined Declaration and Power of Attorney signed by the inventor and the surcharge of \$130.00 as set forth in 37 C.F.R. § 1.16(e).
- ☒ Fee Transmittal
- ☒ Priority Document and Transmittal
- ☒ A Duplicate Copy of Fee Transmittal for Fee Processing.
- ☒ Other: Copy of Notice to File Missing Parts of Non Provisional Application.



The filing fee has been calculated as follows:

FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
TOTAL CLAIMS	19 - 20 =	0	x \$18.00	\$0.00
INDEPENDENT CLAIMS	3 - 3 =	0	x \$80.00	\$0.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$0.00
			BASIC FEE	\$710.00
			TOTAL OF ABOVE CALCULATIONS =	\$710.00
Reduction by 1/2 for filing by small entity (Note 37 C.F.R. §§ 1.9, 1.27, 1.28). If applicable, verified statement must be attached.				\$0.00
SURCHARGE FOR FILING MISSING PARTS				\$130.00
			TOTAL =	\$840.00

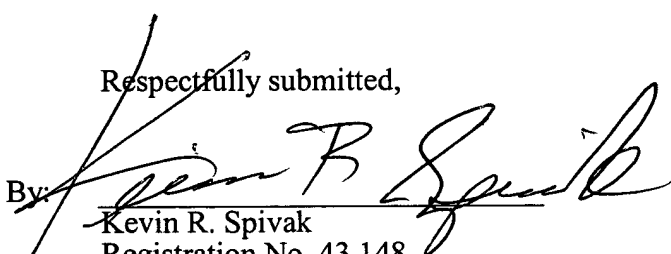
☒ Charge \$840.00 to **Deposit Account No. 03-1952.**

The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §§ 1.16 and 1.17 that may be required by this transmittal and associated documents, or to credit any overpayment to **Deposit Account No. 03-1952.**

Dated: July 19, 2001

Respectfully submitted,

By:

  
Kevin R. Spivak  
Registration No. 43,148

Morrison & Foerster LLP  
2000 Pennsylvania Avenue, N.W.  
Washington, D.C. 20006-1888  
Telephone: (202) 887-6924  
Facsimile: (202) 263-8396

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL FOR FY 2001

Patent fees are subject to annual revision.

## Complete if Known

Application Number	09/855,844
Filing Date	May 16, 2001
First Named Inventor	Manami KUISEKO et al.
Examiner Name	to be assigned
Group Art Unit	1731
Attorney Docket No.	325772022100

TOTAL AMOUNT OF PAYMENT

(\$)**840.00**

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: **03-1952**  
Deposit Account Name: **Morrison & Foerster LLP**

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	710.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)**710.00**

### 2. EXTRA CLAIM FEES

Total Claims	19	- 20** =	0	x	18.00	=	\$0.00
Independent Claims	3	- 3** =	0	x	80.00	=	\$0.00
Multiple Dependent					270.00	=	\$0.00

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claims, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)**0.00**

\*\* or number previously paid, if greater; For reissues, see above.

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	130.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions of the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per properties (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)**130.00**

## SUBMITTED BY

Name (Print/Type) **Kevin R. Spivak**

Registration No. **43,148**  
(Attorney/Agent)

Complete (if applicable)

Telephone **202-887-6924**

Signature

Date **July 19, 2001**

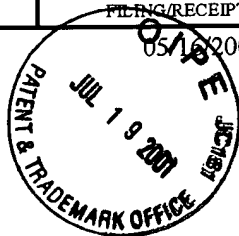
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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/855,844	05/16/2001	Manami Kuisako	325772022100



Barry E. Bretschneider  
Morrison & Foerster LLP  
Suite 5500  
2000 Pennsylvania Avenue, N.W.  
Washington, DC 20006-1888

CONFIRMATION NO. 9179

## FORMALITIES LETTER



\*OC000000006302627\*

Date Mailed: 07/16/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

07/23/2001 BSAYAS11 00000003 031952 09855844

FILED UNDER 37 CFR 1.53(b)

01 FC:101 710.00 CH  
02 FC:105 130.00 CH

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 840.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

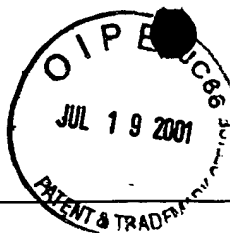
- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing figures contain text that is not in English (including, for example, a flow chart that was originally not in English that has been marked up to include the English text) see 37 CFR 1.84(p)(2) and 37 CFR 1.52(d)(1);

*A copy of this notice **MUST** be returned with the reply.*

*Thaine*  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

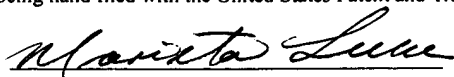


#3

PATENT  
Docket No.325772022100

## CERTIFICATE OF HAND DELIVERY

I hereby certify that this correspondence is being hand filed with the United States Patent and Trademark Office in Washington, D.C. on July 19, 2001.

  
Marieta Luke

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Manami KUISEKO *et al.*

Serial No.: 09/855,844

Filing Date: May 16, 2001

For: METHOD OF MANUFACTURING AN  
OPTICAL HEAD

Examiner: to be assigned

Group Art Unit: 1731

## REQUEST FOR A CORRECTED FILING RECEIPT

Commissioner for Patents  
Washington, D.C. 20231

Sir:

Please furnish the undersigned with a corrected Filing Receipt for the above-identified application. The corrections needed is as follows (in bold type):

Under Applicant(s) please delete "KUISAKO" and insert -- KUISEKO--.

A copy of the marked-up Filing Receipt is attached.

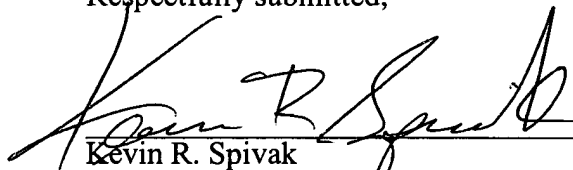
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In the event that the transmittal letter is separated from this request and the Patent and Trademark Office determines that a fee is required, applicants petition for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952**. However, the Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Respectfully submitted,

Dated: July 19, 2001

By:

  
Kevin R. Spivak  
Registration No. 43,148

Morrison & Foerster LLP  
2000 Pennsylvania Avenue, N.W.  
Suite 5500  
Washington, D.C. 20006-1888  
Telephone: (202) 887-6924  
Facsimile: (202) 263-8396

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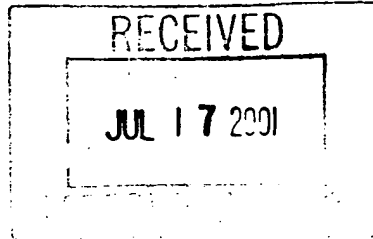


## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/855,844	05/16/2001	1731	0.00	325772022100	4	19	3

Barry E. Bretschneider  
Morrison & Foerster LLP  
Suite 5500  
2000 Pennsylvania Avenue, N.W.  
Washington, DC 20006-1888



CONFIRMATION NO. 9179

## FILING RECEIPT



\*OC000000006302626\*

Date Mailed: 07/16/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

**KUISEKO**  
Manami Kuiseko, Osaka-shi, JAPAN;  
Yasushi Kobayashi, Osaka-shi, JAPAN;

Domestic Priority data as claimed by applicant

## Foreign Applications

JAPAN 2000-143199 05/16/2000

If Required, Foreign Filing License Granted 07/16/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

## Title

Method of manufacturing an optical head

## Preliminary Class

065

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